

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) Greenaway, Joseph A.	2. Court or Organization U.S. Court of Appeals for the Third Circuit	3. Date of Report 08/16/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Active Article III	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2015 to 12/31/2015
7. Chambers or Office Address U.S. P.O. & Federal Courthouse Federal Square and Walnut St. Newark, NJ 07101		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Associate Editor	ABA Litigation Magazine
2.	Trustee	Columbia University Board of Trustees
3.	Trustee	Cromwell Foundation
4.		
5.		

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☐ NONE (No reportable agreements.)

	<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.	94-96	Johnson & Johnson Employee Savings Plan
2.	95-96	Johnson & Johnson Pension Plan
3.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

Greenaway, Joseph A.

Date of Report

08/16/2016

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**☐ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2015	Cardozo School of Law - teaching	\$26,925.00
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*☐ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2015	self-employed legal consultant
2.	
3.	
4.	

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*☐ NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. Columbia University	June 11-12, 2015	New York, NY	Attend Board of Trustees meeting	transportation, lodging, meals
2. Columbia University	October 8-10, 2015	New York, NY	Attend Board of Trustees meeting	transportation, lodging, meals
3. Columbia University	December 3-6, 2015	New York, NY	Attend Board of Trustees meeting	transportation, lodging, meals
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

Greenaway, Joseph A.

Date of Report

08/16/2016

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*NONE *(No reportable liabilities.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.	American Express	Credit Card	J
2.	Citibank Mastercard	Credit Card	J
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

Greenaway, Joseph A.

Date of Report

08/16/2016

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. American Express common stock	A	Dividend			Sold	06/24/15	J	D	
2. Merck common stock	A	Dividend	J	T					
3. Microsoft common stock	B	Dividend	L	T	Sold (part)	06/24/15	J	B	
4. McDonalds common stock	A	Dividend	K	T					
5. Johnson & Johnson common stock	E	Dividend	O	T					
6. U.S. Savings Bonds	A	Interest	J	T					
7. Citibank (checking & savings)	A	Interest	J	T					
8. Disney common stock	A	Dividend	K	T					
9. Intel common stock	A	Dividend	J	T					
10. Johnson & Johnson 401(k)	A	Interest	N	T					
11. U.S. Treasury Strips	A	Interest	J	T					
12. GE common stock	A	Dividend	J	T					
13. Pfizer common stock	A	Dividend	J	T					
14. Comcast common stock	A	Dividend	J	T					
15. Wells Fargo (formerly Wachovia) Securities IRA money market	A	Int./Div.	J	T					
16. Northwestern Mutual Life Insurance		None	O	W					
17. Vanguard 401K Midcap Index Fund	A	Dividend			Sold		K	C	

1. Income Gain Codes: (See Columns B1 and D4)	A –\$1,000 or less F –\$50,001 - \$100,000	B –\$1,001 - \$2,500 G –\$100,001 - \$1,000,000	C –\$2,501 - \$5,000 H1 –\$1,000,001 - \$5,000,000	D –\$5,001 - \$15,000 H2 –More than \$5,000,000	E –\$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J –\$15,000 or less N –\$250,001 - \$500,000 P3 –\$250,000,001 - \$50,000,000	K –\$15,001 - \$50,000 O –\$500,001 - \$1,000,000	L –\$50,001 - \$100,000 P1 –\$1,000,001 - \$5,000,000 P4 –More than \$50,000,000	M –\$100,001 - \$250,000 P2 –\$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q –Appraisal U –Book Value	R –Cost (Real Estate Only) V –Other	S –Assessment W –Estimated	T –Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 5 of 8

Name of Person Reporting

Greenaway, Joseph A.

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08/16/2016

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☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code I (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

18. Vanguard 401K Healthcare Fund	A	Dividend	M	T					
19. Vanguard 401K Total Stock Market Index	B	Dividend	L	T					
20. Vanguard 401K Dividend Growth	B	Dividend	L	T					
21. Alphabet common stock		None	L	T					
22. Apple common stock	A	Dividend	J	T					
23. Ameriprise common stock	A	Dividend			Sold	06/24/15	J	C	
24. AllianceBernstein Large-Cap Growth Fund		None	J	T					
25. AllianceBernstein Global Thematic Growth Fund		None	J	T					
26. Oppenheimer Main Street Fund	A	Dividend	J	T					
27. ADP common stock	A	Dividend	J	T					
28. Facebook		None	L	T					
29. Vanguard Windsor Fund	C	Dividend	L	T					
30. Vanguard 401K Value Index Fund	B	Dividend	L	T					
31. Vanguard 401K Prime Money Market Fund	A	Dividend	L	T					
32. Chase Bank	A	Interest	K	T					
33. Vanguard I-T Investment Grade Fund	A	Dividend	J	T	Buy	04/23/15	J		
34. Vanguard S-T Investment Grade Fund	A	Dividend	J	T	Buy	04/23/15	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 6 of 8

Name of Person Reporting

Greenaway, Joseph A.

Date of Report

08/16/2016

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	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
35. Vanguard 500 Index Fund	A	Dividend	L	T	Buy	04/23/15	J		
36. IBM	C	Dividend	L	T	Buy	11/24/15	L		
37. Neuberger Bermann Absolute Return MultiManager CLA		None	M	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting

Greenaway, Joseph A.

Date of Report

08/16/2016

VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Comments to Section VII.

On line 17, I show a sale of Vanguard 401K Midcap Index Fund. I did not include a date, because my wife, who died last year, had sold it on April 11, 2014 and the report will not allow me to include that date. The sale should have been reported on my report last year, but I inadvertently omitted it.

On line 21, Google changed its name to Alphabet.

On line 37, I added Neuberger Berman Absolute Return MultiManager CLA. I had inadvertently omitted this asset from last year's report. My wife, who died last year, had purchased it on April 11, 2014, July 22, 2014 and October 17, 2014. In preparing last year's report, I simply overlooked the purchase of this investment.

On lines 33-35, I have added the purchase date for these funds, which I inadvertently omitted from my original report.

On lines 25 and 27 of my 2014 report, I had listed Vanguard 401K GNMA and Vanguard 401K Total Bond Market Index, showing that partial sales of both of these funds on July 15, 2014 and then showing partial sales again on October 17, 2014 and December 1, 2014, respectively. The second sale for each of the funds disposed of the remainder of my interest in the funds, and should have been listed as "Sold," rather than "Sold (part)." Since both funds were sold in their entirety in 2014, I did not list them on this report.

On line 16, I list Northwestern Mutual Life Insurance. This policy is a whole life policy.

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Greenaway, Joseph A.

Date of Report

08/16/2016

IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: **s/ Joseph A. Greenaway**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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